

Eligibility Technical Assistance Guide – WIA, Title I-B

Background: 20 CFR 663.105 indicates when an adult or dislocated worker must be registered. 663.110 defines the eligibility criteria for the adult program, 663.115 for the dislocated worker program and 663.120 discusses displaced homemaker eligibility. 663.600 grants priority to low-income adults and public assistance recipients for services with adult funds when funds are limited. Youth eligibility is described in 664.200, with basic literacy skills deficiencies and "requires assistance to complete education or secure and hold employment," defined in 664.205 and 664.210 respectively.

Local areas and State sub-grantees will be required to establish and document the eligibility of adult, dislocated worker and youth participants served with WIA funds. To assist local areas and State sub-grantees in these efforts DWD has revised and amended federally issued JTPA technical assistance guides to reflect the changes brought about by the Workforce Investment Act. The documentation recommendations herein are acceptable to monitors from the DWD.

This guidance is issued at this time to assist local areas and State sub-recipients as they begin the process of enrolling customers into activities under Title I of the Workforce Investment Act. It will be subject to change as additional Federal Regulations and other Federal guidance is received.

DOCUMENTATION AND VERIFICATION OF ELIGIBILITY REQUIRED FOR TITLE I OF WIA

INTRODUCTION

This part provides a comprehensive list of Title I eligibility criteria aligned with the appropriate documentation sources. A file copy of any one document listed per criteria will satisfy DWD's documentation requirements.

The following table lists 1) the general eligibility criteria and 2) the documentation sources to verify eligibility. All of the appropriate documentation sources, which may be used to verify eligibility, are listed. A copy of any one source of eligibility verification will satisfy DWD's documentation requirements, unless otherwise specified.

For cases where documentation can not or may not be copied, and/or is not readily obtainable, a Telephone Verification/Documentation Inspection Form has been developed (see page 7) to document specific WIA eligibility criteria. This form serves a dual purpose: 1) Document Inspection - used in cases when documents can not or may not be copied, and/or if program recruitment is being conducted in the field; and 2) Telephone Verification - used to verify eligibility information through governmental, private and/or social service agencies. It should be stressed that this form is not as sound as written documentation from an original or cognizant second source and should only be used when these sources are not available or when original documents cannot be copied. Information recorded on this form must include all the applicable information to enable a monitor and/or auditor, to adequately verify eligibility; i.e., document name, contact name, telephone numbers, addresses, etc.

In addition, certain documentation listed can be used to satisfy several requirements; e.g., driver's license can verify date of birth, social security number, etc. This Technical Assistance Guide lists specific documentation that can satisfy several eligibility criteria. The footnotes provide additional detail or other clarification of the usage of the designated document.

The following table identifies the elements requiring documentation for the following eligibility criteria:

Eligibility Criteria	Elements Needing Documentation
General Eligibility	
	- Social Security Number
	- Citizenship/Alien Status
	- Selective Service Registrant
	- Age
Low-Income Status	
	- Cash Public Assistance
	- Individual/Family Income
	- Individual Status/Family Size
	- Food Stamps
	- Homeless
	- Supported Foster Child
	- Individuals with Disabilities
5% Window (Youth)	
	- Basic Skills Deficient
	- Behind Grade Level
	- Pregnant or Parenting
	- School Dropout
	- Offender
	- Individuals with Disabilities
	- Homeless or Run-away Youth
	- Local Board defined barriers

TABLE OF ACCEPTABLE DOCUMENTATION REQUIRED TO ESTABLISH
GENERAL WIA TITLE I PROGRAM ELIGIBILITY

Eligibility Criteria	Documentation	DD-214	Employment Records	Drivers License	IRS Form Letter 1722	Social Services Agency ¹	Pay Stub	Social Security Benefits	Social Security Card	W-2 Form	Alien Registration Card/ Work Permit	Baptismal Record ³	Birth Certificate	Food Stamp Records	Foreign Passport ⁴	Hospital Record of Birth	Naturalization Certification	Public Assistance Records	U.S. Passport	Selective Service Registration Record ⁵	Fed. State or Local Gov. ID Card	School Records/Identification Card
1.GENERAL ELIGIBILITY																						
A. Social Security Number		X	X	X	X	X	X	X	X	X												
B. Citizenship/Alien Status		X									X	X	X	X	X	X	X	X	X			
C. Selective Service Registrant		X																		X		
D. Age		X		X		X					X	X	X		X	X			X		X	X

Low Income Status

The chart on the following page illustrates the documentation that can be utilized to substantiate a participant's Low Income Status.

¹ Public Assistance/Social Service Records, etc.

² INS Forms I-151, I-551, I-94, I-688A, I-197, I-179. Must indicate right to Work.

³ For Citizenship/Alien Status place of birth must be shown.

⁴ For Citizenship/Alien Status must be stamped eligible to work.

⁵ Includes Selective Service Verification Form, Form 3A, Selective Service Advisory Opinion Letter, Selective Service Registration Card, or Stamped Post Office Receipt of Registration.

Eligibility Criteria		Documentation	
A. Individual/Family Income ⁸		Applicant Statement ¹	
		Award Letter from Veterans Administration	
		Bank Statements (Direct Deposit)	
		Birth Certificate	
		Child Study Team	
		Compensation Award Letter	
		Court Documentation, ⁶	
		Drug or Alcohol Rehabilitation Agency	
		Employer Statement/Contact	
		Food Stamp Agency	
		IRS Form Letter 1722	
		Housing Authority Verification	
		Lease or landlord statement	
		Marriage records	
		Medical Card	
		Medical Records	
		School Records	
		Sheltered Workshop Certification	
		Social Service Agency	
		Social Security Benefits	
		Statement from a public care facility	
		Statement from shelter	
		Tax Return Supported by IRS documents	
		Unemployment Insurance Documents	
		Verification of Payments ⁷	
		Vocational Rehabilitation Letter	
		Workers Compensation Records	
B. Individual Status/ Family Size			

⁶ To include Divorce Decree and Award Letter.

⁷ Made on behalf of the child

⁸ NOTE: Documentation should be provided for each applicable income source. (Applicable to Adults only when registered in Intensive or Training Services when adult funds are determined to be limited).

⁹ And/or Printout

¹⁰ e.g., mental hospital, prison.

¹¹ Most Recent return supported by Form Letter 1722 (see Appendix A).

C. Food Stamps																				x									
D. Homeless	x										x												x ¹²						
E. Supported Foster Child							x													x							x		
F. Individual with Disabilities	x ¹³				x ¹⁴			x							x	x ¹⁵	x	x		x ¹⁶	x ¹⁷							X	x

¹² Including individuals providing temporary shelter.

¹³ In conjunction with observable conditions.

¹⁴ In conjunction with observable conditions.

¹⁵ Letters or other such documents must state the specific disability

¹⁶ Letters or other such documents must state the specific disability

¹⁷ Social Security Administration disability records

ALTERNATE FORMS OF DOCUMENTATION

ELIGIBILITY VERIFICATION BY TELEPHONE & DOCUMENT INSPECTION

WIA eligibility criteria may, if no other forms of documentation are available, be verified by telephone contacts with governmental or social service agencies, or by document inspection. The information obtained must be documented by recording the information on a standardized form such as the example contained in this part. Information recorded must be adequate to enable a monitor or auditor to trace back to the agency providing the information or the document used. Telephone verification must include the name of the agency representative providing the verification information.

In some cases, the information provided by an agency through telephone contact may be sufficient to satisfy multiple WIA eligibility criteria. For example, verification that an adult has been determined eligible to receive TANF can satisfy the priority requirements for Title I eligibility when adult funds for intensive/training services are limited.

Documentation of eligibility verification through document inspection is appropriate when documents cannot or may not be machine-copied.

Since personal information must normally be kept confidential by governmental agencies, States and local areas will need to make prior arrangements to obtain such information. Some applications make provisions for a parent or guardian of youth to give up their rights to confidentiality for specific purposes.

Agencies which may assist in verifying eligibility via telephone contact include:

- Local schools
- Social Security Administration
- Veteran Administration
- Medical and Health facilities
- Vocational Rehabilitation Facilities
- Drug & Alcohol Rehabilitation Facilities
- Housing Authorities
- Homeless Shelters
- Judicial Agencies & Institution
- Other State or Local Govt. Agencies

When documentation of WIA eligibility verification is accomplished via telephone or document inspection, local areas and sub-state grantees are required to use a standardized form, such as the example contained in this part, for monitoring and audit purposes.

WIA ELIGIBILITY VERIFICATION BY TELEPHONE OR DOCUMENT INSPECTION

APPLICANT'S IDENTIFICATION NUMBER:		NAME OR NUMBER OF DOCUMENT:	
APPLICANT'S LAST NAME	FIRST NAME	MI.	SSN.
PRIMARY ELIGIBILITY ITEM TO BE VERIFIED:			
AGENCY PROVIDING VERIFICATION:		AGENT VERIFYING ELIGIBILITY ITEM:	
DATE & TIME OF VERIFICATION:		APPLICANT'S AGENCY OR DOCUMENT I.D. #:	
<div style="display: flex; justify-content: space-between;"> ____/____/____ ____:____ </div> <div style="display: flex; justify-content: space-between; font-size: small;"> Day Month Yr. Hr. Min. AM or PM </div>			
TELEPHONE NUMBER OF AGENCY PROVIDING VERIFICATION: () _____ - _____ <div style="display: flex; justify-content: space-between; font-size: small;"> AC Prefix Number </div>			
ADDITIONAL ELIGIBILITY ITEMS VERIFIED (LIST & RECORD DATA FOR EACH): <div style="display: flex; justify-content: space-between;"> <div style="width: 65%;"> <hr/><hr/><hr/><hr/><hr/><hr/><hr/> </div> <div style="width: 30%; text-align: right;"> <div style="display: flex; justify-content: space-between; font-size: small;"> ____/____/____ ____ </div> <div style="display: flex; justify-content: space-between; font-size: small;"> Day Month Yr. </div> <div style="display: flex; justify-content: space-between; font-size: small;"> ____/____/____ ____ </div> <div style="display: flex; justify-content: space-between; font-size: small;"> Day Month Yr. </div> <div style="display: flex; justify-content: space-between; font-size: small;"> ____/____/____ ____ </div> <div style="display: flex; justify-content: space-between; font-size: small;"> Day Month Yr. </div> <div style="display: flex; justify-content: space-between; font-size: small;"> ____/____/____ ____ </div> <div style="display: flex; justify-content: space-between; font-size: small;"> Day Month Yr. </div> <div style="display: flex; justify-content: space-between; font-size: small;"> ____/____/____ ____ </div> <div style="display: flex; justify-content: space-between; font-size: small;"> Day Month Yr. </div> </div> </div>			
I attest that the information recorded by me on this document was obtained through telephone contact or document inspection on the above Date is as indicated by the agent. All information was obtained from data previously determined and recorded in the applicant's records at the Agency providing the eligibility verification, or I attest that the document inspected, verified the primary/secondary items required to determine Eligibility for WIA activities and services.			
INTAKE WORKER'S SIGNATURE and DATE:			
<div style="border-bottom: 1px solid black; width: 100%;"></div>		<div style="display: flex; justify-content: space-between; font-size: small;"> ____/____/____ ____ </div> <div style="display: flex; justify-content: space-between; font-size: small;"> Day Month Yr. </div>	

APPLICANT STATEMENT REQUIREMENTS

INTRODUCTION AND PURPOSE

After review of the eligibility criteria along with possible ways to document the criteria, it was found that much of the documentation was readily available through a number of agencies or sources. In some cases definitive documentation is required, e.g., eligibility to work (I-9 requirements under IRCA) and Selective Service registration or exemption for males.

This TAG allows for limited use of applicant statements to document those items which, in some cases, are not verifiable or which may cause undue hardship for individuals to obtain. An applicant statement may be used only in the cases described below and only after all practicable attempts to secure documentation have failed. Applicant statements must be supported by a documented corroborative contact or reliable witness attesting to the accuracy of the statement.

REQUIREMENTS

In order to utilize the applicant statement as documentation, the following requirements must be adhered to:

1. The applicant statement form, or facsimile, must be utilized.
2. A corroborative contact or witness must be indicated on the statement. The corroboration may be via witness signature or supporting telephone verification form. In those rare instances when an applicant cannot obtain a satisfactory witness or provide a telephone contact, the applicant needs to explain why such corroboration is not possible.
3. Use of the applicant statement is limited to the following instances:
 - A. Economic Eligibility
 - 1) Family Size - when birth certificates or 1040 and IRS Letter 1722 are not available
 - 2) Individual Status - Persons ordinarily included in the definition of family, but claiming to be no longer dependent, must complete an applicant statement attesting to their individual status. Such statements should be corroborated by the head of household in which that person resides, if possible. Individual must also show source of his/her support.

- 3) Proof of income for individuals who claim little or no income - Statement should indicate means of support; e.g., unemployment compensation, for previous six month period. Statement should also indicate corroborative witness to verify indicated means of support.

B. 5% Window

- 1) Dropout Status - Applicant statement is to be used only for out-of-state and/or applicants 16 or over when documentation from the school district cannot be obtained.
- 2) Offenders - When court records or other documentation are unobtainable.
- 3) Pregnant

EXAMPLES

Use of the sample Applicant Statement form is as follows: If an applicant states that he/she cannot provide evidence that no income was received during the past six months, and that he/she was unemployed for that period, the blank spaces following the words "I certify, under penalty of perjury, that I" may be completed, for example, as follows: "have received no income from any source during the past six months, that I have been unemployed during that time, and have been supported by donations/contributions from relatives and friends." This should be corroborated by the person(s) providing the support.

APPLICANT STATEMENT

I HEREBY CERTIFY, UNDER PENALTY OF PERJURY, THAT

I _____

If applicant cannot obtain a satisfactory witness or provide a telephone contact, explain above.

I ATTEST THAT THE INFORMATION STATED ABOVE IS TRUE AND ACCURATE, AND UNDERSTAND THAT THE ABOVE INFORMATION, IF MISREPRESENTED, OR INCOMPLETE, MAY BE GROUNDS FOR IMMEDIATE TERMINATION AND/OR PENALTIES AS SPECIFIED BY LAW.

APPLICANT'S SIGNATURE and DATE

CORROBORATING WITNESS SIGNATURE

APPLICANT'S ADDRESS

WITNESS' RELATIONSHIP TO APPLICANT

OFFICE USE ONLY

The above applicant statement is being utilized for documentation of the following eligibility criteria:

SIGNATURE and DATE OF CERTIFYING OFFICIAL

_____/_____/_____
Month Day Year

DOCUMENTATION OF VERIFICATION
REQUIREMENTS BY PROGRAM

ADULT PROGRAM (18 YEARS OR OLDER)

- a. An individual shall be eligible to participate in the program under this part if such individual is:
 - 1. Age 18 or older; and
 - 2. Economically disadvantaged – Applicable only to participants registered in intensive and training services when Adult Funds are limited
 - 3. For Intensive Services, are unemployed and are unable to achieve employment through Core Services, and for Training Services, are unemployed and are unable to achieve employment through Intensive Services, or
 - 4. Who are employed, but who are determined by a one-stop operator to be in need of Intensive or Training Services in order to obtain or retain employment that allows for self-sufficiency.
 - 5. For those who are enrolled in intensive services and are seeking Training Services and who after interview, evaluation, or assessment, and case management, have been determined by a one-stop operator or one-stop partner:
 - A. as appropriate for training services,
 - B. to be in need of training services, and,
 - C. to have the skills and qualifications to successfully participate in the selected program of training services.
 - 6. In addition, those seeking training services must be those who are:
 - A. unable to obtain other grant assistance for such services (including Federal Pell Grants), or
 - B. require assistance beyond the assistance made available under other grant assistance programs.
- b. In addition to determining the above, verification must be determined on the following items:

1. Citizenship/Eligible to Work - All participants must be citizens and nationals of the United States, lawfully admitted permanent resident aliens, lawfully admitted refugees and parolees, and other individuals authorized by the Attorney General to work in the United States.

Selective Service/Military Status - All participants must be in compliance with the Selective Service Act requirements. All males who are at least 18 years old and born after December 31, 1959, and who are not in the armed services on active duty must be registered.

General and economic eligibility criteria are outlined in the tables on pages 3 through 5 of this technical assistance guide. Eligibility specific to the adult program can be documented it the following methods:

	Documentation	Applicant Statement	Assessment and testing records	Case notes	Individual Employment Plan	Lay-off Letter	School Records/contacts	UI Records
Eligibility Criteria								
Unemployed		x				x		x ²⁴
Unsuccessful with core and/or intensive services				x	x			
Needs intensive/training services for self-sufficiency		(All the areas that may be used to document economic eligibility may also document the need for self-sufficiency. See chart on page 5)						
Appropriate for, in need of training services, and, having the skills and qualifications to successfully participate in the selected program of training services.		x	x	x				
Unable to obtain other grant assistance for training		x		x	x		X	
Requires assistance beyond the assistance made available under other grant assistance programs.		x		x			X	

²⁴ Because of the delay in receiving UI information, this documentation should be accompanied with an applicant statement.

DISLOCATED WORKER PROGRAM

A dislocated worker is defined as permanently laid-off when the individual is one who:

- Has been terminated or laid off , or who has received a notice of termination or layoff, from employment;
- Is eligible for or has exhausted entitlement to unemployment compensation. Or
- Has been employed for a duration sufficient to demonstrate attachment to the workforce, but is not eligible for unemployment compensation due to insufficient earnings or having performed services for an employer that were not covered under a State unemployment compensation law;
- Is unlikely to return to a previous industry or occupation

A worker is defined as dislocated due to permanent closure or substantial layoff when the worker:

- Has been terminated or laid off, or has received notice of termination or layoff, from employment as a result of any permanent closure of, or any substantial layoff at a plant, facility, or enterprise;
- Is employed at a facility at which the employer has made a general announcement that such facility will close within 180 days; or
- For the purposes of eligibility to receive services other than training services, intensive services, or supportive services, is employed at a facility at which the employer has made a general announcement that such facility will close.

A person who was self-employed is defined as dislocated when the worker:

- Was self-employed (including employment as a farmer, a rancher, or a fisherman) but is unemployed as a result of general economic conditions in the community in which the individual resides or because of natural disaster.

A displaced homemaker is defined as a dislocated worker when the person:

- Has been dependent on the income of another family member but is no longer supported by that income; and
- Is unemployed or underemployed and is experiencing difficulty in obtaining or upgrading employment.

DOCUMENTATION:

The following tables are meant as quick reference guides to documentation of dislocated status. For greater detail on the documentation required, consult the narrative following the tables.

Dislocated Due to Lay-off or Closure

	Documentation	Applicant Statement	Case notes (employer phone contact)	"Choices" (declining occupation)	Closure in similar industry (in same region)	Coordinator's statement	Decreased job openings for an occupation or industry	DWD (no recent job orders)	Employer Lay-off Letter or notice	Exhausted Unemployment Insurance	M OICC or local Chambers of Commerce (occupation or industry is declining)	Other (approved by DWD)	unemployment benefits print out or check stub	UI determination letter
Eligibility Criteria														
Permanently Laid-Off Individual (Three items needed)														
1. Lay-off status		x							x					
2. Unemployment Insurance Status													x	x
3. Unlikely To Return (UTR) to previous occupation or industry				x	x	x	x	x		x	x	x		
Permanent Closure or Substantial Layoff. (Two items required)														
1. Permanently laid off (due to closure)		x							x					
2. Permanently laid off (due to substantial lay-off) ²⁵		x							x					

²⁵ Substantial layoff Letter, notice or telephone documentation must show company, date, number laid off, number of employees at normal production who work twenty hours or more per week, which will verify an employment loss at a single site of employment during any thirty day period for: a. At least thirty-three percent of the employees (excluding employees regularly working less than twenty hours per week); and b. At least fifty employees (excluding employees regularly working less than twenty hours per week); or c. At least five hundred employees (excluding employees regularly working less than twenty hours per week).

Dislocated Self Employed and Displaced Homemaker

	Documentation	Applicant statement	Bank loan denial (inability to secure capital)	Bankruptcy or foreclosure papers	Business License or Business Tax Return	Disaster Declaration	Divorce or separation decree	Insurance records	Pay stubs	Public Assistance Records	Other legal document showing self employment	Tax records	Social Service Agency or Shelter referral	UI Records
Eligibility Criteria														
Self Employed (Documentation of each)														
1. Evidence of Self Employment					x						x			
2. Evidence of Business Failure	x ²⁶	x	x			x		x						
Displaced Homemaker (Documentation of each)														
1. Has been dependent	x						x					x	x	
2. Unemployed or underemployed	x								x	x				x ²⁷

²⁶ Documentation must include evidence of: 1. Failure of one or more businesses to which the self-employed individual supplied a substantial proportion of products or services; 2. Failure of one or more businesses, from which the self-employed individual obtained a substantial proportion of products or services; 3. Substantial layoff(s) from or permanent closure(s) of one or more plants or facilities that support a significant portion of the State or local economy; and/or 4. Depressed price(s) or market(s) for the article(s) produced by the self-employed individual.

²⁷ Because of the delay in receiving UI information, this documentation should be accompanied with an applicant statement.

The following items will be documented in the dislocated worker's file for each eligibility category. If appropriate, one item may be used to verify more than one item under a category.

Permanently laid off

Three items must be documented to verify eligibility under this category:

Documentation examples:

- a. A copy of a letter or notice from the employer which verifies a plant closure, reduction in workforce, or plant layoff, showing company and applicant name and date of layoff; or
- b. If the Contracting Agency is unsuccessful in their attempts to secure documentation of layoff using the above procedures, the Contracting Agency will document eligibility by a phone call to the participant's former employer verifying termination of employment as a "result" of permanent layoff or closure.

The following information will be documented in the case notes during the application and eligibility process;

- Name of employer,
- Contact person, name and title of contact person. (Contact person must be in a position of authority with knowledge of personnel matters relating to this layoff/closing),
- Phone number, and
- Date of permanent layoff.

This procedure for documentation by phone should be used only as a "last resort" and only after the Contracting Agency has made every possible effort to secure some form of written documentation as outlined herein.

NOTE: In those cases where an employer states that he may recall laid-off employees, the layoff may still be considered indefinite if the following conditions exist:

- 1) No definite recall date has been given; OR
- 2) A recall date was given but that date has passed without recall; AND
- 3) Division of Workforce Development is requiring the

individual to conduct a work search in order to remain eligible for UI.

Item 2. Unemployment Insurance Status (Unemployment Insurance Eligible and Exhaustees) Unemployment Insurance Eligible is defined as earning or earned "wage credits" in Unemployment Insurance "covered employment".

Documentation examples:

The Dislocated Worker Program operator should obtain a printout from the Local Area's Dislocated Worker eligibility system which shows that the applicant was employed in unemployment insurance "covered employment" and earned "wage credits".

NOTE: In cases where the above documentation is not available the following documents may be used:

- a. A copy of the participant's unemployment benefits check stub; or
- b. A copy of the participant's UI determination letter.

The information received through the UI/MIS interface regarding client eligibility or other client information received from the Division of Employment Security is confidential. Any such information must not be shared with other agencies or individuals (including the client). However, the client may obtain this information through their local Division of Workforce Development office. This information is subject to the provisions of Section 288.250 RSMO and is only to be used by the local area administrator or program operators in determining eligibility and should be used by no one other than the AE and their subcontractors and only in the performance of their duties.

Item 3. Unlikely To Return (UTR) to previous occupation or industry

Documentation examples:

The One-Stop Operator will maintain documentation in the client's file that will verify that the dislocated worker is "unlikely to return to previous industry of employment or occupation". This documentation may include any of the following:

- a. Documentation of a decrease in the number of job openings for a particular occupation or industry during a recent period of time prior to the client's enrollment; or
- b. Documentation that the client was laid off and has exhausted Unemployment Insurance and is still unemployed; or
- c. Documentation provided by the Division of Workforce Development, Missouri Occupational Information Coordinating Committee, or local Chambers of Commerce which would demonstrate that a particular occupation or industry is declining; or
- d. Documentation of a plant closing or permanent layoffs (of ten or more workers) within a 12 month period, (including the current layoff). Permanently laid off workers from the same industry or occupation that have experienced the closure or permanent layoff would be considered "unlikely to return"; or
- e. Based upon the local Title III program coordinator's knowledge of the local labor market, they can reasonably certify with a statement in the client's file that the occupation or industry is declining or the client's prospects for finding a job in that industry or occupation is not likely; or
- f. Documentation from the Division of Workforce Development that there is no current job order or that there appears to be an excess of applicants for a job order for the DOT code from which the applicant is laid off within the geographic area where the client is willing to accept employment.
- g. "Choices" information which indicates a declining demand for the occupation from which the applicant is laid off from within the geographic area where the client is willing to accept employment.
- h. Any other documentation approved by the Division of Workforce Development.

At least one item of documentation for **(1)** permanently laid off, **(2)** Unemployment Insurance status and **(3)** unlikely to return will be documented and maintained in the client's file.

If the worker was identified through the Worker Profiling system the only item of documentation is a copy of the master record from the profiling system.

Closure or Substantial Lay-off:

Two items of documentation are necessary to verify eligibility under this category. Both items may be covered by one document.

Item 1. Permanently laid off

Documentation examples:

- a. A copy of a letter or notice from the employer which verifies the participant was affected by a plant closure, reduction in workforce, or plant layoff, showing company name and date of layoff; or
- b. If the Contracting Agency is unsuccessful in their attempts to secure documentation of layoff using the above procedures, the contracting Agency will document eligibility by a phone call to the participant's former employer verifying termination of employment as a "result" of permanent layoff or closure.

The following information will be documented in the counseling notes during the application and eligibility process.

- Name of employer,
- Contact person, name and title of contact person.
(Contact person must be an individual with some knowledge of personnel matters.)
- Phone number, and
- Date of permanent layoff.

This procedure for documentation by phone should be used only as a "last resort" and only after the Contracting Agency has made every possible effort to secure some form of written documentation as outlined herein.

NOTE: In those cases where an employer states that he may recall laid-off employees, the layoff may still be considered indefinite if the following conditions exist:

- 1) No definite recall date has been given; OR
- 2) A recall date was given but that date has passed without recall; AND
- 3) Division of Employment Security is requiring the individual to conduct a

work search in order to remain eligible for U.I.

Documentation of Permanent Closure or Substantial Layoff.

Documentation examples:

1. Closure: company, date, verification that it was a closure. (Letter or notice of closure from the company.)
2. Substantial layoff: Letter or notice showing company, date, number laid off, number of employees at normal production who work twenty hours or more per week, which will verify an employment loss at a single site of employment during any thirty day period for:
 - a. At least thirty-three percent of the employees (excluding employees regularly working less than twenty hours per week); and
 - b. At least fifty employees (excluding employees regularly working less than twenty hours per week); or
 - c. At least five hundred employees (excluding employees regularly working less than twenty hours per week).

NOTE: Item 2 a., and b., or item 2 c., must be met for verification of substantial layoff. Also, a substantial layoff may be documented by telephone if all of the above information is available from a contact within the company with a person in a position of authority with knowledge of personnel matters relating to this layoff. The documentation must be maintained in a master file and or the participant file.

At least one item of documentation is required which verifies that the applicant was employed at the company at the time of the closure or layoff, and one item of documentation which verifies that the layoff was due to closure or substantial layoff (both items may be verified in one document). Verification of Unemployment Insurance status is not required, nor is documentation of "Unlikely to Return" for those applicants under Category 2.

NOTE: The Mass Layoff/Plant Closure Code is used for client tracking purposes

ONLY. The assignment of this code by DWD does NOT verify ANY of the above information, and is not to be used for any purpose other than the tracking of participants by company of layoff.

NOTE: Employees are frequently offered the option of early retirement instead of a layoff. Those who choose this alternative usually must accept substantial reductions in retirement benefits, are not eligible for Unemployment Insurance compensation, and must seek employment to support a family or home. Thus, they face most, if not all, of the reemployment problems of laid-off workers and have the additional barrier of age. SDAs and other DWRR service providers can accept documentation of such forced retirement in lieu of layoff as the equivalent of a layoff notice in determining applicant eligibility for Title III. (Sections 301[A][1][a],[b] & [c]).

Documentation must include a letter from the company which states that the Title III applicant would have been laid off had he not taken his retirement OR documentation that the applicant has filed a claim for U.I. and has been determined ineligible for U.I. In this, special case, verification of earned wage credits through the UI/JTIS interface system is NOT adequate for determining eligibility.

SELF EMPLOYED

At least two items must be documented to verify eligibility under this category. There must be adequate documentation which clearly shows that the applicant (1) was self-employed and (2) is now unemployed.

Documentation examples:

1. Evidence of self-employment
 - a. Business tax return;
 - b. Business license;
 - c. Any other legal document which shows self-employment and which could be verified by phone.
2. Evidence of business failure
 - a. Due to natural disasters
Insurance records, Disaster Declaration, etc.
 - b. Due to bankruptcy or foreclosure.

- c. Due to inability to secure capital necessary to continue a farm operation or other business.
- d. Due to general economic conditions. In some instances, a self-employed person has not filed bankruptcy or other official evidence of business failure, but is willing to attest that he is no longer in business. In those instances, additional documentation may be necessary.

Note: One item under 2. (a., b., c., or d.) must be documented to prove business failure. If d. is used, the documentation must include the following. Documentation must include evidence of:

- 1. Failure of one or more businesses to which the self-employed individual supplied a substantial proportion of products or services;
- 2. Failure of one or more businesses from which the self-employed individual obtained a substantial proportion of products or services;
- 3. Substantial layoff(s) from or permanent closure(s) of one or more plants or facilities that support a significant portion of the State or local economy; and/or
- 4. Depressed price(s) or market(s) for the article(s) produced by the self-employed individual.

NOTE: At least one item of documentation showing (1) evidence of self-employment and (2) evidence of business failure will be maintained in the client's file

Category D: Displaced Homemaker

Definition: Displaced Homemaker means an individual who has been providing unpaid services to family members in the home and who—

- Has been dependent on the income of another family member but is no longer supported by that income; and
- Is unemployed or underemployed and is experiencing difficulty in obtaining or up grading employment.

YOUTH (14YRS - 21YRS)

- a. An individual is eligible to participate in the program under this part if such individual is:
 - 1. 14 through 21 years of age
 - 2. Economically disadvantaged; and
 - 3. An individual who is one or more of the following:
 - a. Deficient in basic literacy skills.
 - b. A school dropout.
 - c. Homeless, a runaway, or a foster child.
 - d. Pregnant or a parent
 - e. An offender.
 - f. An individual who requires additional assistance to complete an educational program, or to secure and hold employment. This characteristic has to be identified and approved by the Local WIB as written in the State approved Local Plan.
- b. In addition to determining the above, verification must be determined on the following items:
 - 2. Citizenship/Eligible to Work - All participants must be citizens and nationals of the United States, lawfully admitted permanent resident aliens, lawfully admitted refugees and parolees, and other individuals authorized by the Attorney General to work in the United States.
 - 3. Selective Service/Military Status - All participants must be in compliance with the

Selective Service Act requirements. All males who are at least 18 years old and born after December 31, 1959, and who are not in the armed services on active duty must be registered.

- c. 5% Window - Not more than 5 percent of the participants in a program assisted under this part in each Workforce Investment Region may be individuals who do not meet the economic eligibility requirements if such individuals are within one or more categories of individuals who face serious barriers to employment.

- 1. Individuals that are basic skills deficient.
- 2. Individuals that are school dropouts.
- 3. Individuals that are pregnant or parenting.
- 4. Individuals with disabilities, including learning disability.
- 5. Individuals that are homeless or run-away youth.
- 6. Individuals that are offenders.
- 7. Individuals with the Local Area designated category.

General and economic eligibility criteria are outlined in the tables on pages 2 through 4 of this technical assistance guide. Eligibility specific to the youth program can be documented it the following methods:

3. 5% Window

- A. Not more than 5% of individuals participating in youth programs under Title I of the Workforce Investment Act (WIA) may be non-economically eligible if facing one or more serious barriers to employment. Required documentation for these barriers are included in the table on the following page.

		Documentation	Applicant Statement	Attendance Record	Birth Certificate	Court Documents	Dropout Letter	Drug or Alcohol Rehab. agency	Generally accepted standardized	Halfway House Resident	Hospital Record of Birth	Letter of Parole /Probation	Medical Card	Observable Condition	Physicians Note/Medical Records	Police Report	Referrals from Official Agencies	Rehabilitation Evaluation	School Records	School Program for Pregnant Teens	Sheltered Workshop Certification	Social Security Disability Records	Social Services Agency	Statement from Shelter	Veterans Admin. Letter/Records	Vocational Rehabilitation Letter	Workers Com. Records	
Eligibility Requirement																												
Basic Skills Deficient ²⁸									X		X								X									
Pregnant or Parenting	X		X									X			X		X		X	X			X					
School Dropout	X	X				X																						
Offender	X			X						X		X				X												
Individual with Disabilities							X							X ²⁹	X ³⁰			X	X		X	X	X		X	X	X	
Homeless or Runaway Youth	X																					X	X ³¹					
Local Board Defined Barrier ³²	Documentation is dependent on what barrier is chosen. Documentation must be reasonable and consistent with the principles demonstrated in this TAG.																											

²⁸ It is suggest that English reading test be given first. May not need to go to math test.

²⁹ In conjunction with an Applicant Statement.

³⁰ To include physician's statement or diagnosis, psychiatrist's statement or diagnosis, psychologist's statement or Diagnosis.

³¹ To include a written statement from an individual providing temporary residence.

³² As defined in the local plan

